

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
**114104-008**

In Re Application Of: **Markus Rothkranz et al.**

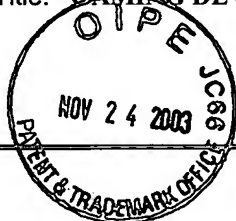
Serial No.  
**10/660,401**

Filing Date  
**September 10, 2003**

Examiner  
**Unknown**

Group Art Unit  
**Unknown**

Title: **CASINO DEVICE HAVING PIVOTING SYMBOL INDICATOR**



Address to:  
**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, VA 22313-1450**

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

**OR**

☐ the fee set forth in 37 CFR 1.17(p).

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
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Unknown

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Unknown

GAMING DEVICE HAVING PIVOTING SYMBOL INDICATOR



**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. \_\_\_\_\_ as described below.
- ☐ Charge the amount of \_\_\_\_\_
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- ☒ Charge any additional fee required.

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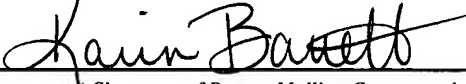
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I certify that this document and fee is being deposited on November 19, 2003 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

  
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\_\_\_\_\_  
Signature

Dated: November 19, 2003

Adam H. Masia

Reg. No. 35,602

Bell, Boyd & Lloyd, LLC

P.O. Box 1135

Chicago, Illinois 60690-1135

(312) 807-4284

cc:



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Markus Rothkranz et al.  
Appl. No.: 10/660,401  
Conf. No.: Unknown  
Filed: September 10, 2003  
Title: GAMING DEVICE HAVING PIVOTING SYMBOL INDICATOR  
Art Unit: Unknown  
Examiner: Unknown  
Docket No.: 114104-008

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.56, 37 C.F.R. 1.97, and 37 C.F.R. 1.98, Applicants request that a citation and examination of the references cited below, and on the attached PTO-1449 form, be made during the course of examination of the above-identified application for United States patent. Pursuant to the Official Gazette Notice dated August 5, 2003, copies of the cited U.S. patents and patent applications are not included as this application was filed after June 30, 2003. However, copies of all other cited references are included with this form.

U.S. PATENT DOCUMENTS

| <u>Document No.</u> | <u>Date</u>        | <u>Inventor</u>     |
|---------------------|--------------------|---------------------|
| Des. 400,597        | November 3, 1998   | Hedrick et al.      |
| Des. 402,702        | December 15 1998   | Seelig et al.       |
| Des. 406,865        | March 16, 1999     | Heidel              |
| Des. 441,031 S      | April 24, 2001     | Seelig et al.       |
| Des. 443,313 S      | June 5, 2001       | Brettschneider      |
| Des. 465,531 S      | November 12, 2002  | Luciano, Jr. et al. |
| 2,545,644           | March 20, 1951     | Benton et al.       |
| 4,410,178           | October 18, 1983   | Partridge           |
| 4,695,053           | September 22, 1987 | Vazquez, Jr. et al. |
| 4,732,386           | March 22, 1988     | Rayfiel             |
| 5,152,529           | October 6, 1992    | Okada               |

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|---------------------|--------------------|--------------------|
| 5,364,100           | November 15, 1994  | Ludlow et al.      |
| 5,395,111           | March 7, 1995      | Inoue              |
| 5,449,173           | September 12, 1995 | Thomas et al.      |
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| 6,086,066           | July 11, 2000      | Takeuchi et al.    |
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| 6,089,978           | July 18, 2000      | Adams et al.       |
| 6,105,962           | Aug. 22, 2000      | Malavazos et al.   |
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| 6,227,970 B1        | May 8, 2001        | Shimizu et al.     |
| 6,251,013 B1        | June 26, 2001      | Bennett            |

| <u>Document No.</u> | <u>Date</u>       | <u>Inventor</u>    |
|---------------------|-------------------|--------------------|
| 6,254,481 B1        | July 3, 2001      | Jaffe              |
| 6,267,669 B1        | July 31, 2001     | Luciano Jr. et al. |
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| 6,537,152 B2        | March 25, 2003    | Seelig et al.      |
| 6,582,307 B2        | June 24, 2003     | Webb               |
| 6,609,972 B2        | August 26, 2003   | Seelig et al.      |

#### **OTHER DOCUMENTS**

4DU Dice Unit Advertisement written by starpoint.uk.com, printed on September 3, 2002.

American Bandstand Brochure written by Anchor Games, published in 2001.

Big Shot!™ Advertisement published by Aristocrat Technologies, Inc., published in 2002.

Big Top Keno Advertisement published by Aristocrat Technologies, Inc., published in 2000.

Bonus Roulette Brochure written by F. Franco, not dated.

Buck's Roulette Brochure written by R. Franco, not dated.

Chariot's of Fortune Brochure written by R. Franco, not dated.

Classic Pot of Gold Brochure written by Ace Coin Equipment Ltd., not dated.

Cyberdyne Gaming Brochure written by Cyberdyne Gaming, not dated.

Elvira® Mistress of the Dark™ Advertisement written by IGT, published in 2002.

Elvis Hits Advertisement written by IGT, published in 1999.

Holy Smoke Brochure written by Impulse Gaming Ltd., not dated.

Jack and the Beanstalk™ Brochure written by AC Coin & Slot, not dated.

King of the Grill™ Brochure written by AC Coin & Slot, not dated.

Line-Up Brochure written by AC Coin & Slot, not dated.

Little Green Men Jr.™ Advertisement written by AC Coin & Slot, not dated.

Little Green Men Jr.™ Article written by Strictly Slots, published in February 2003.

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Mix and Match Article written by Strictly Slots, published in April 2002.

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On The Money! Article written by Strictly Slots, published in December 2000.

Payout!™ Advertisement written by [www.csds.com/Gaming/Products/g\\_Payout.htm](http://www.csds.com/Gaming/Products/g_Payout.htm), printed on January 15, 2001.

Payout!™ Article written by Casino Data Systems, not dated.

Pick a Prize Brochure written by Acres Gaming Incorporated, published prior 2001.

Power Slotto Brochure published by AC Coin & Slot prior to 2002.

Press Your Luck Brochure published by AC Coin & Slot prior to 2002.

Quick Pick Paytime Brochure written by Acres Gaming Incorporated, published prior to 2001.

R&B™ Brochure published by AC Coin & Slot, not dated.

Reel Dice Advertisement written by Gerber & Glass, published in 1936.

Royal Roulette Brochure written by Impulse Gaming Ltd., not dated.

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Silver City Roundup Brochure published by AC Coin & Slot, not dated.

Slot Machines A Pictorial History of the First 100 Years, 5<sup>th</sup> edition written by Marshall Fey, published in 1983-1997.

Slot Machines on Parade, 1<sup>st</sup> edition written by Robert N. Geddes and illustrated by Daniel R. Mead, published in 1980.

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Take Your Pick Article written by Strictly Slots, published in March 2001.

Yahtzee Bonus Advertisement written by Mikohn, published in 1999.

Applicants look forward to early and favorable consideration of this matter.

Respectfully submitted,

BELL, BOYD & LLOYD LLC

BY



Adam H. Masia

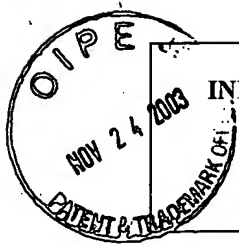
Reg. No. 35,602

P.O. Box 1135

Chicago, Illinois 60690-1135

Phone: (312) 807-4284

Dated: November 19, 2003



**INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION**  
(Use several sheets if necessary)

PTO Form 1449

|                                      |                               |
|--------------------------------------|-------------------------------|
| Atty Docket No.<br>114104-008        | Application No.<br>10/660,401 |
| Applicant<br>Markus Rothkranz et al. |                               |
| Filing Date<br>September 10, 2003    | Group<br>Unknown              |

| U.S. PATENT DOCUMENTS  |                    |                     |                     |       |          |                                  |
|------------------------|--------------------|---------------------|---------------------|-------|----------|----------------------------------|
| Examiner's<br>Initials | Document<br>Number | Publication<br>Date | Inventor            | Class | Subclass | Filing Date<br>If<br>Appropriate |
|                        | Des. 400,597       | November 3, 1998    | Hedrick et al.      |       |          |                                  |
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|   |                  |
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| <p>*Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p> |                  |



|  |                                      |                               |
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| Examiner's<br>Initials | OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)   |
|------------------------|--|
|                        | Elvis Hits Advertisement written by IGT, published in 1999.  |
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|  |                  |
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|------------------------|--------------------|---------------------|---------------|-------|----------|----------------------------------|
|                        | 6,533,660 B2       | March 18, 2003      | Seelig et al. |       |          |                                  |
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|                        | 6,609,972 B2       | August 26, 2003     | Seelig et al. |       |          |                                  |

**FOREIGN PATENT DOCUMENTS**

| Examiner's<br>Initials | Document<br>Number | Publication<br>Date | Country | Class | Subclass | Translation |    |
|------------------------|--------------------|---------------------|---------|-------|----------|-------------|----|
|                        |                    |                     |         |       |          | Yes         | No |
|                        |                    |                     |         |       |          |             |    |
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|                        |                    |                     |         |       |          |             |    |
|                        |                    |                     |         |       |          |             |    |
|                        |                    |                     |         |       |          |             |    |

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

| Examiner's<br>Initials |   |
|------------------------|---|
|                        | 4DU Dice Unit Advertisement written by starpoint.uk.com, printed on September 3, 2002.    |
|                        | American Bandstand Brochure written by Anchor Games, published in 2001.                   |
|                        | Big Shot!™ Advertisement published by Aristocrat Technologies, Inc., published in 2002.   |
|                        | Big Top Keno Advertisement published by Aristocrat Technologies, Inc., published in 2000. |
|                        | Bonus Roulette Brochure written by F. Franco, not dated.                                  |
|                        | Buck's Roulette Brochure written by R. Franco, not dated.                                 |
|                        | Chariot's of Fortune Brochure written by R. Franco, not dated.                            |
|                        | Classic Pot of Gold Brochure written by Ace Coin Equipment Ltd., not dated.               |
|                        | Cyberdyne Gaming Brochure written by Cyberdyne Gaming, not dated.                         |
|                        | Elvira® Mistress of the Dark™ Advertisement written by IGT, published in 2002.            |

Examiner: \_\_\_\_\_ Date Considered: \_\_\_\_\_

\*Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



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|--|--------------------------------------|-------------------------------|
| <b>INFORMATION DISCLOSURE CITATION<br/>IN AN APPLICATION</b><br>(Use several sheets if necessary)<br><br>PTO Form 1449 | Atty Docket No.<br>114104-008        | Application No.<br>10/660,401 |
|  | Applicant<br>Markus Rothkranz et al. |                               |
|  | Filing Date<br>September 10, 2003    | Group<br>Unknown              |
|  |                                      |                               |

| Examiner's<br>Initials | OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>      |
|------------------------|--|
|                        | Spin-A-Lot Brochure written by Acres Gaming Incorporated, published prior to 2001. |
|                        | Take Your Pick Article written by Strictly Slots, published in March 2001.         |
|                        | Yahtzee Bonus Advertisement written by Mikohn, published in 1999.                  |

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| Examiner:  | Date Considered: |
| *Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. |                  |